

10-10-02



## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Yuste et al.  
Serial No. : 10/002,788  
Filed : November 3, 2001  
For : METHOD AND SYSTEM FOR ANALYZING  
FINANCIAL MARKET DATA

Group Art Unit: 2161

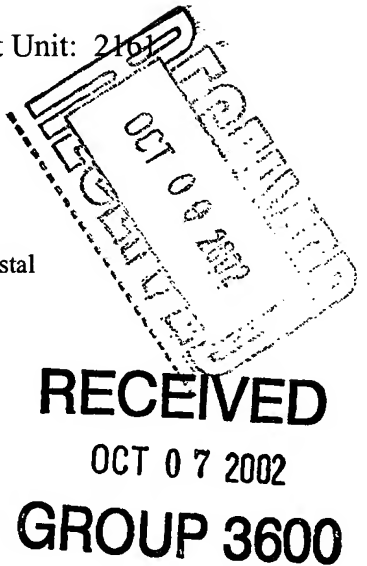
I hereby certify that this paper is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231  
September 25, 2002  
Date of Deposit

Henry Tang  
Attorney Name

Henry Tang  
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29,705  
PTO Reg. No.

September 25, 2002  
Date of Signature

INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents  
Washington, D.C. 20231

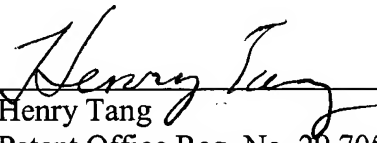
Sir:

Pursuant to the provisions of 37 C.F.R. §§ 1.97 and 1.98, submitted herewith are a PTO Form 1449 identifying non-patent documents and references, some of which were cited in an International Search Report recently received in a related PCT application, which may be considered by the Examiner to be material to the patentability of the invention claimed in the above-identified application. Copies of the materials identified in the Form 1449 are also enclosed.

## PATENT

This statement is submitted more than 3 months from the application filing date but before the mailing date of the first Office Action. In accordance with 37 C.F.R. § 1.98, submission of this Information Disclosure Statement requires no fee. However, the Commissioner is hereby authorized to charge the payment of any fees required in association with this communication to Deposit Account No. 02-4377.

Respectfully submitted,

  
Henry Tang  
Patent Office Reg. No. 29,705

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Enclosures

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Form PTO-1449 U.S. Department of Commerce  
(REV. 2-82) Patent and Trademark OfficeAtty. Docket No.  
AP33682Serial No.  
10/002,788**INFORMATION DISCLOSURE STATEMENT  
BY APPLICANT**

(Use several sheets if necessary)

Applicant  
Yuste et al.Filing Date  
November 2, 2001Group  
2161**U.S. PATENT DOCUMENTS**

*Exam. Init.	Document No.	Date	Name	Class	Subclass	Filing Date if Appropriate
	5 2 1 5 0 9 9	6/1/93	Haberl et al.	128	702	

**FOREIGN PATENT DOCUMENT**

Document No.	Date	Country	Class	SubClass	Translator Yes No
9 9 4 4 0 6 2	9/2/99	WIPO	G01N	33/50	

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**GROUP 3600****OTHER DOCUMENTS (including Author, Title Date, Pertinent Pages, Etc.)**

	"A Tutorial on Hidden Markov Models and Selected Applications in Speech Recognition" by Lawrence R. Rabiner, <u>Proceedings of the IEEE</u> ; Vol. 77, No. 2, February 1989, pp. 257-285.
	"The Segmental K-Means Algorithm for Estimating Parameters of Hidden Markov Models" by Juang et al., <u>IEEE Transactions on Acoustics, Speech and Signal Processing</u> , Vol. 38, No. 9, September 1990, pp. 1639-1641.

NY02:407501.1

Examiner

Date Considered

\* Examiner: Initial citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not conformance and not considered. Include copy of this form with next communication to applicant.

Form PTO-1449 U.S. Department of Commerce  
(REV. 2-82) Patent and Trademark OfficeAtty. Docket No.  
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2161

"Hidden Markov Modelling of Simultaneously Recorded Cells in the Associative Cortex of Behaving Monkeys" by Gat et al., Comput. Neural Sys., Vol. 8, 1997, pp. 297-322.

"Networks of Coactive Neurons in Developing Layer 1" by Schwartz et al., Neuron, Vol. 20, March 1998, pp. 541-552.

"Solution of Linear Algebraic Equations", Chapter 2.0 Introduction, by Press Numerical Recipes in C, 1992, pp. 29-31

"Least-Squares Techniques" by Christopher Bishop, Neural Network for Pattern Recognition, 1995, page 93, 171, and 260.

"Maximum-Likelihood Estimation for Mixture Multivariate Stochastic Observations of Markov Chains" by B. H. Juang, AT&T Technical Journal, Vol. 64, No. 6, July-August 1985, pp. 1235-1249.

"Statistical Interference for Probabilistic Functions of Finite State of Markov Chains" by Baum et al., Interference for Functions of Markov Chains, 1966, pp. 1554-1563.

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"Maximum Likelihood Estimation for Multivariate Observations of Markov Sources" by Louis A. Liporace, IEEE Transactions on Information Theory, Vol. IT-28, No. 5, September 1982, pp. 729-734.

"Cluster Analysis and Data Visualization of Large-Scale Gene Expression Data" by George S. Michaels, Daniel B. Carr, Manor Askenazi, Stefanie Fuhrman, Xiling Wen, Roland Somogyi, XP-000974575, 1997, pp. 41-53.

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